

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas J. Daley, et al.
Serial No.: 10/767,699
Filing Date: January 29, 2004
Art Unit: 3624
Confirmation No.: 5670
Examiner: Unknown
Title: *SYSTEM AND METHOD FOR CONTROLLING
THE DISCLOSURE OF A TRADING ORDER*

Mail Stop Amendment

Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. A copy of the International Search Report is enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

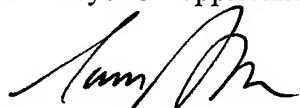
The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

REMARKS

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.
Attorneys for Applicants



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Date: May 17, 2007

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PTO-1449		Application No. 10/767,699		Applicant(s) Thomas J. Daley, et al.	
Information Disclosure Citation In an Application		Docket Number 069547.0174	Group Art Unit 3624	Filing Date January 29, 2004	

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	2003/0216932 A1	11/20/2003	Foley	705	1	11/07/2002
	B	2004/0143538 A1	07/22/2004	Korhammer, et al.	705	37	01/21/2003
	C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
	D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
	E	2006/0149662 A1	07/06/2006	Nordlicht, et al.	705	37	03/07/2006
	F						
	G						
	H						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	I							
	J							
	K							
	L							
	M							

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
N	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.</i>	04/20/2007
O		
P		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE